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SEARCH REPORT

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To: KENNETH BARTLEY
Location: KNX-5B49
Art Unit: 3693
Thursday, April 28, 2011

Case Serial Number: 10/657535

From: EMORY DAMRON
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Search Notes

KENNETH:

Please find below your search results.

References of potential pertinence have been bold- highlighted within the document. If you're being sent an electronic file, please note some text may by followed by drawings chosen because of specific relevance.

There may be a few decent references contained herein, but I'll let you determine how useful they may be to you.
Please contact me if I can refocus or expand any aspect of this case. And, if you need better, different or more art.

EIC 3600 welcomes your feedback and would be particularly interested in learning if you anticipate using any of these references in an office action.

Good Luck!
Sincerely,
Emory Damron
EIC 3600, US Patent & Trademark Office
Phone: (571) 272-3520
Emory.damron@uspto.gov

0014884197 *Drawing available*
WPI Acc no: 2005-231936/200524
XRPX Acc No: N2005-191039
Investment portfolio buying power determining method, involves receiving request to analyze proposed transaction and calculating transaction limit for proposed transaction based upon transaction rules
Patent Assignee: KOCHANSKY J (KOCH-I)
Inventor: **KOCHANSKY J**

Patent Family (1 patents, 1 countries)							
Patent Number	**Kind**	**Date**	**Application Number**	**Kind**	**Date**	**Update**	**Type**
US 20050055300	A1	20050310	US 2003657535	A	20030908	200524	B

Alerting Abstract US A1
NOVELTY - The method involves providing a set of **compliance rules** for an investment **portfolio**. The **rules** are applied to a proposed **transaction** to determine a **transaction limit**. A request is received to analyze the proposed **transaction**. The **limit** is calculated for the proposed **transaction** based upon the **rules**. **Buying power** of the **portfolio** is determined based upon the **limit** associated with the **most restrictive rule**.
DESCRIPTION - An INDEPENDENT CLAIM is also included for a system for determining the **buying power** of an investment **portfolio**.
USE - Used for determining **buying power** of an investment **portfolio**.
ADVANTAGE - The method provides a **portfolio** manager with the **transaction limit** based upon the **compliance rules** to efficiently allocate available funds among the **portfolios**.
DESCRIPTION OF DRAWINGS - The drawing shows a schematic diagram depicting the core functional components of a **portfolio** management system.
14Control program
18Analytical **server**
22Portfolio **database**
24Rules **database**
26Securities **database**

- -

III. ALL SEARCH STRATEGIES & DATABASES

? **ds**

```
Set      Items    Description
S1       3157     PORTFOLIO?
S2       63566    (GROUP? OR POOL? OR MIX OR CLUSTER? OR LIST? OR
COLLECTION?
                  OR AGGREGAT? OR MULTIPLE? OR MULTITUD? OR BUNDL? OR
SEVERAL?-
                  )(2N)(SHARES? OR STOCK? OR BOND? OR EQUIT? OR DEBENTUR? OR
FI-
                  NANCIAL?()INSTRUMENT? OR INVESTMENT?) OR MUTUAL()FUND? ?
S3       2527     (STOCKMARKET? OR STOCK()MARKET? OR DEBENTUR? OR STOCK?
OR -
                  EQUIT? OR SHARE? OR INVESTMENT? OR BOND? ? OR COMMODIT? OR
FU-
                  TURE? OR SECURIT? OR FINANCIAL?()INSTRUMENT? OR
MUTUAL()FUND?
                  OR MONETAR?()NOTE?)(2N)(ACCOUNT? OR ACCT? OR IRA OR
INDIVIDUA-
                  L()RETIREMENT()ACCOUNT? OR IRAS OR 401K OR 401()K OR
ANNUITY -
                  OR ANNUITIE? OR PENSION?()PLAN?)
S4       59638    COMPLIAN? OR OBEY? OR COMPLY?
S5       2851013  ADHERENC? OR FIDELIT? OR FAITHFUL? OR COMPLIE? OR
FOLLOW? -
                  OR (TOE OR TOES OR TOED OR TOEING)(2W)LINE OR LOYAL?
S6       154030   CONFORMIT? OR CONFORM OR CONFORMS OR CONFORMED OR
CONFORMI-
                  NG OR OBSERV?(2W)(DISCIPLINE? OR CONTINUIT? OR PROCEDUR?
OR P-
                  ROTOCOL? OR RULE? OR POLICY? OR POLICIE?)
S7       22297    S1:S3 AND S4:S6
S8       1676     RULE OR RULES OR PROTOCOL? OR POLICY OR POLICIE? OR
PROCED-
                  URE? OR PROCEDURAL? OR RULESET? OR RULEBASE? OR CRITERION?
OR
                  CRITERIA OR LAW OR LAWS OR ORDINANCE? OR CIVIL()CODE? OR
STAT-
                  UTE? OR GUIDELINE?
S9       14       (CONDITIONAL? OR LEGAL? OR STATUTOR? OR AGENCY OR SEC
OR L-
                  EGISLAT? OR OBLIGATORY? OR MANDATORY? OR COMPULSOR? OR
ADMINI-
                  STRATIV? OR ESSENTIAL?)(2N)(BENCHMARK? OR PARAMET? OR
CONSTRA-
                  INT? OR REQUIREMENT? OR REQUISIT? OR REGS OR REGULATION?
OR D-
                  IRECTIV?)
S10      401      (PREDETERMINED OR PREDEFINED OR PRESELECT? OR PRESET OR
PR-
                  EPROGRAMMED OR FIXED OR PREESTABLISHED OR STATED OR
DEFINED OR
                   SELECTED OR ESTABLISHED)(2N)(CRITERIA OR FACTOR OR
FACTORS OR
                  MODEL??? OR CONDITION? OR SCENARIO?)
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S11      959   TRANSACTION? OR TRADES OR TRADING? OR DEALS OR SWAPS OR
SW-
              APPING? OR DEALING?
S12       21   (VOLUME? OR NUMBER? OR AMOUNT?)(2N)(SHARES OR EQUITIE?
OR -
              FINANCIAL?()INSTRUMENT? OR BONDS OR DEBENTURE?)(2N)(EFT OR
FU-
              ND?()TRANSFER? OR EXPENDIT? OR EXPENS? OR OUTLAY? OR BUY
OR B-
              UYS OR PURCHAS? OR SALE? OR SELL? OR SOLD? OR BOUGHT? OR
ADDS
              OR ADD OR ADDED OR ADDING OR ADDITION?)
S13     1885   LIMIT OR LIMITS OR LIMITATION OR LIMITED OR LIMITING OR
CAP
              OR CAPS OR TOPLIMIT? OR PEAK? OR CREST?
S14      472   BOUNDARY? OR BOUNDARIE? OR THRESHOLD? OR THRESHHOLD? OR
CE-
              ILING? OR BUYING()POWER? OR (HIGHWATER? OR
HIGH()WATER)()MARK?
                   ?
S15     1361   UPPERMOST? OR (SET OR TIPPING)()POINT? OR
CRITICAL()MASS? -
              OR MAXIMUM? OR MAXIMAL? OR OPTIMUM? OR OPTIMAL?
S16       86   S7 AND S8:S10 AND S11:S12 AND S13:S15
S17       85   SORT OR SORTS OR SORTED OR SORTING OR RANK OR RANKS OR
RAN-
              KED OR RANKING? OR HIERARCH? OR PRIORITIS? OR PRIORITIZ?
OR T-
              AXONOMIS? OR TAXONOMIZ? OR LIST? ? OR LISTED OR LISTING OR
IT-
              EMIZ? OR ITEMIS? OR DESCRIPTION?
S18       34   RATE? OR RATING? OR SCORE? OR SCORING? OR GRADE? OR
GRADING
              OR CLASSIFY? OR CLASSIFIE? OR CLASSIFICAT? OR
TOTEM()POLE? OR
              CAT?GORIS? OR CAT?GORIZ?
S19       62   LEAST OR LOWEST? OR SMALLEST? OR MINIMUM? OR MINIMAL?
OR L-
              ITTLEST? OR TINIEST? OR BOTTOMMOST?
S20       25   MOST OR HIGHEST? OR BIGGEST? OR LARGEST? OR MAXIMUM? OR
MA-
              XIMAL? OR GREATEST? OR UPPERMOST? OR TOPMOST? OR
MIGHTIEST?
S21       19   RESTRICT? OR STRICT? OR TIGHT? OR CONFINING OR CHEAPEST
OR
              NARROW? OR SELECTIVE? OR EXCLUDING OR EXCLU?ATOR? OR
EXCLUSIV?
              OR CONTROLLED OR PROHIBIT? OR FORBID? OR PROSCRIB?
S22       14   LENIENT? OR LAX OR LOOSE OR LOOSEST OR DEAREST OR
WIDEST? -
              OR INDISCRIMINA? OR UNDISCRIMINA? OR NONEXCLU? OR
UNRESTRICT?
              OR UNEXCLU? OR UNCONTROLL? OR PERMIT? OR PERMISSI?
S23       69   COMPUTER? OR ANALYT?()SERVER? OR DATABASE?
S24        0   MICROCONTROLLER? OR MICROCOMPUTER? OR MINICONTROLLER?
S25        9   COMPUTING()(DEVICE? OR APPARATUS?) OR MULTIPROCESS? OR
APP
```

```
                OR APPS
S26         8    CONTROLLER? OR CONTROLLING()(DEVICE? OR UNIT? ?) OR
MINICO-
                MPUTER? OR PC OR PCS
S27         2    DATAPROCESSOR? OR CENTRALPROCESSOR? OR CPU OR CPUS
S28        33    SERVER? OR (DATA OR MICRO OR CENTRAL OR
MINI)()(PROCESSOR?
                OR CONTROLLER?) OR MINICOMPUTER?
S29         0    MICROPROCESSOR? OR MICRO()(CONTROLLER? OR PROCESSOR?)
S30         1    EXECUT?()FILE? OR PROGRAM?()LANGUAG? OR CONTROL()LOGIC?
S31        13    SOFTWARE? OR SOFT()WARE? OR APP? ? OR MACRO? ? OR API
OR A-
                PIS OR PROGRAM()INTERFACE?
S32         6    PROCESS?R?(2N)(PROGRAM? OR APPLICATION? OR ROUTINE? OR
SUB-
                ROUTINE? OR CODE? OR INSTRUCTION? OR ALGORITH? OR
LANGUAG?)
S33         5    PROCESS?R?(2N)(PROCEDUR? OR PROTOCOL? OR COMMUNICATION?
OR
                COMMAND? OR STEP? ? OR SEQUEN?)
S34         1    PROCESS?R?(2N)(SCRIPT? OR UTILIT? OR CODE? OR UTILIT?
OR S-
                CRIPT? OR ROUTINE? OR SUBROUTIN?)
S35        30    DISPLAY? OR CRT OR CRTS OR GUI OR
GRAPHIC?(2W)(INTERFAC? OR
                SCREEN? OR WINDOW? OR TABLE? OR MONITOR? OR PANEL?) OR
MENU -
                OR MENUS OR BROWSER?
S36         4    (GRAPHIC? OR DIGITAL?)()(REPRESENTATION? OR DEPICT?) OR
GI-
                I? ? OR GDI? ? OR (GRAPHIC? OR VISUAL?)(2W)(INTERFACE? OR
APP?
                 ? OR APPLICAT?)
S37         0    COMPUTER?()(SCREEN? OR WINDOW?) OR USERINTERFAC? OR
(DROP -
                OR PULL)()DOWN? OR (WINDOW OR DESKTOP)()MANAGER? OR
PULLDOWN?
S38         0    UI OR UIS OR (GRAPHIC? OR VISUAL?)(2N)(MENU? OR PAGE?
OR S-
                CREEN?) OR GUIS
S39         0    (MESSAGE? OR OUTPUT? OR NOTIFY? OR NOTIFI? OR
MESSAGING? OR
                TEXT???)()(BOX OR BOXES OR WINDOW? OR FIELD?)
S40         1    AU=(KOCHANSKY J? OR KOCHANSKY, J?)
S41         0    KOCHANSKY(2N)(JOSEPH? OR JOE OR JOEY)
S42        79    IC=(G06F? OR G06Q? OR G07F?)
S43        21    S16 AND S17:S18 AND S19:S20 AND S21:S22
S44        20    S43 AND S23:S34
S45         9    S43 AND S35:S39
S46         1    S43 AND S40:S41
S47        20    S43 AND S42
S48        21    S43:S47
S49         1    S48 AND S46
S50        20    S48 NOT S49
S51         7    S50 AND AY=1950:2003
S52         3    S50 NOT AY=2004:2011
S53         7    S51:S52
```

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S54          7    IDPAT (sorted in duplicate/non-duplicate order)
S55          7    IDPAT (primary/non-duplicate records only)


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File 348:EUROPEAN PATENTS 1978-201116
         (c) 2011 European Patent Office
File 349:PCT FULLTEXT 1979-2011/UB=20110421|UT=20110414
         (c) 2011 WIPO/Thomson
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Set      Items    Description
S1       4905     PORTFOLIO?
S2       74435    (GROUP? OR POOL? OR MIX OR CLUSTER? OR LIST? OR
COLLECTION?
                  OR AGGREGAT? OR MULTIPLE? OR MULTITUD? OR BUNDL? OR
SEVERAL?-
                  )(2N)(SHARES? OR STOCK? OR BOND? OR EQUIT? OR DEBENTUR? OR
FI-
                  NANCIAL?()INSTRUMENT? OR INVESTMENT?) OR MUTUAL()FUND? ?
S3       5168     (STOCKMARKET? OR STOCK()MARKET? OR DEBENTUR? OR STOCK?
OR -
                  EQUIT? OR SHARE? OR INVESTMENT? OR BOND? ? OR COMMODIT? OR
FU-
                  TURE? OR SECURIT? OR FINANCIAL?()INSTRUMENT? OR
MUTUAL()FUND?
                  OR MONETAR?()NOTE?)(2N)(ACCOUNT? OR ACCT? OR IRA OR
INDIVIDUA-
                  L()RETIREMENT()ACCOUNT? OR IRAS OR 401K OR 401()K OR
ANNUITY -
                  OR ANNUITIE? OR PENSION?()PLAN?)
S4       157157   COMPLIAN? OR OBEY? OR COMPLY?
S5       2162546  ADHERENC? OR FIDELIT? OR FAITHFUL? OR COMPLIE? OR
FOLLOW? -
                  OR (TOE OR TOES OR TOED OR TOEING)(2W)LINE OR LOYAL?
S6       185614   CONFORMIT? OR CONFORM OR CONFORMS OR CONFORMED OR
CONFORMI-
                  NG OR OBSERV?(2W)(DISCIPLINE? OR CONTINUIT? OR PROCEDUR?
OR P-
                  ROTOCOL? OR RULE? OR POLICY? OR POLICIE?)
S7       5704     S1:S3(20N)S4:S6
S8       4249     RULE OR RULES OR PROTOCOL? OR POLICY OR POLICIE? OR
PROCED-
                  URE? OR PROCEDURAL? OR RULESET? OR RULEBASE? OR CRITERION?
OR
                  CRITERIA OR LAW OR LAWS OR ORDINANCE? OR CIVIL()CODE? OR
STAT-
                  UTE? OR GUIDELINE?
S9       193      (CONDITIONAL? OR LEGAL? OR STATUTOR? OR AGENCY OR SEC
OR L-
                  EGISLAT? OR OBLIGATORY? OR MANDATORY? OR COMPULSOR? OR
ADMINI-
                  STRATIV? OR ESSENTIAL? OR COMMISSION?)(2N)(BENCHMARK? OR
PARA-
```

```
                 MET? OR CONSTRAINT? OR REQUIREMENT? OR REQUISIT? OR REGS
OR R-
                 EGULATION? OR DIRECTIV?)
S10      1173    (PREDETERMINED OR PREDEFINED OR PRESELECT? OR PRESET OR
PR-
                 EPROGRAMMED OR FIXED OR PREESTABLISHED OR STATED OR
DEFINED OR
                 SELECTED OR ESTABLISHED)(2N)(CRITERIA OR FACTOR OR
FACTORS OR
                 MODEL??? OR CONDITION? OR SCENARIO?)
S11      1083    TRANSACTION? OR TRADES OR TRADING? OR DEALS OR SWAPS OR
SW-
                 APPING? OR DEALING?
S12       113    (VOLUME? OR NUMBER? OR AMOUNT?)(2N)(SHARES OR EQUITIE?
OR -
                 FINANCIAL?()INSTRUMENT? OR BONDS OR DEBENTURE?)(2N)(EFT OR
FU-
                 ND?()TRANSFER? OR EXPENDIT? OR EXPENS? OR OUTLAY? OR BUY
OR B-
                 UYS OR PURCHAS? OR SALE? OR SELL? OR SOLD? OR BOUGHT? OR
ADDS
                 OR ADD OR ADDED OR ADDING OR ADDITION?)
S13      5335    LIMIT OR LIMITS OR LIMITATION OR LIMITED OR LIMITING OR
CAP
                 OR CAPS OR TOPLIMIT? OR PEAK? OR CREST?
S14      1232    BOUNDARY? OR BOUNDARIE? OR THRESHOLD? OR THRESHHOLD? OR
CE-
                 ILING? OR BUYING()POWER? OR (HIGHWATER? OR
HIGH()WATER)()MARK?
                    ?
S15      3028    UPPERMOST? OR (SET OR TIPPING)()POINT? OR
CRITICAL()MASS? -
                 OR MAXIMUM? OR MAXIMAL? OR OPTIMUM? OR OPTIMAL?
S16       501    S7 AND S1:S6(20N)S8:S10 AND (S1:S6 OR
S8:S10)(20N)S11:S12 -
                 AND (S1:S6 OR S8:S10 OR S11:S12)(20N)S13:S15
S17       501    SORT OR SORTS OR SORTED OR SORTING OR RANK OR RANKS OR
RAN-
                 KED OR RANKING? OR HIERARCH? OR PRIORITIS? OR PRIORITIZ?
OR T-
                 AXONOMIS? OR TAXONOMIZ? OR LIST? ? OR LISTED OR LISTING OR
IT-
                 EMIZ? OR ITEMIS? OR DESCRIPTION?
S18       460    RATE? OR RATING? OR SCORE? OR SCORING? OR GRADE? OR
GRADING
                 OR CLASSIFY? OR CLASSIFIE? OR CLASSIFICAT? OR
TOTEM()POLE? OR
                 CAT?GORIS? OR CAT?GORIZ?
S19       492    LEAST OR LOWEST? OR SMALLEST? OR MINIMUM? OR MINIMAL?
OR L-
                 ITTLEST? OR TINIEST? OR BOTTOMMOST?
S20       473    MOST OR HIGHEST? OR BIGGEST? OR LARGEST? OR MAXIMUM? OR
MA-
                 XIMAL? OR GREATEST? OR UPPERMOST? OR TOPMOST? OR
MIGHTIEST?
S21       449    RESTRICT? OR STRICT? OR TIGHT? OR CONFINING OR CHEAPEST
OR
```

NARROW? OR SELECTIVE? OR EXCLUDING OR EXCLU?ATOR? OR
EXCLUSIV?
                    OR CONTROLLED OR PROHIBIT? OR FORBID? OR PROSCRIB?
S22   340   LENIENT? OR LAX OR LOOSE OR LOOSEST OR DEAREST OR
WIDEST? -
                    OR INDISCRIMINA? OR UNDISCRIMINA? OR NONEXCLU? OR
UNRESTRICT?
                    OR UNEXCLU? OR UNCONTROLL? OR PERMIT? OR PERMISSI?
S23   484   COMPUTER? OR ANALYT?()SERVER? OR DATABASE?
S24   39   MICROCONTROLLER? OR MICROCOMPUTER? OR MINICONTROLLER?
S25   139   COMPUTING()(DEVICE? OR APPARATUS?) OR MULTIPROCESS? OR
APP
                    OR APPS
S26   234   CONTROLLER? OR CONTROLLING()(DEVICE? OR UNIT? ?) OR
MINICO-
                    MPUTER? OR PC OR PCS
S27   128   DATAPROCESSOR? OR CENTRALPROCESSOR? OR CPU OR CPUS
S28   353   SERVER? OR (DATA OR MICRO OR CENTRAL OR
MINI)()(PROCESSOR?
                    OR CONTROLLER?) OR MINICOMPUTER?
S29   131   MICROPROCESSOR? OR MICRO()(CONTROLLER? OR PROCESSOR?)
S30   125   EXECUT?()FILE? OR PROGRAM?()LANGUAG? OR CONTROL()LOGIC?
S31   427   SOFTWARE? OR SOFT()WARE? OR APP? ? OR MACRO? ? OR API
OR A-
                    PIS OR PROGRAM()INTERFACE?
S32   113   PROCESS?R?(2N)(PROGRAM? OR APPLICATION? OR ROUTINE? OR
SUB-
                    ROUTINE? OR CODE? OR INSTRUCTION? OR ALGORITH? OR
LANGUAG?)
S33   73   PROCESS?R?(2N)(PROCEDUR? OR PROTOCOL? OR COMMUNICATION?
OR
                    COMMAND? OR STEP? ? OR SEQUEN?)
S34   33   PROCESS?R?(2N)(SCRIPT? OR UTILIT? OR CODE? OR UTILIT?
OR S-
                    CRIPT? OR ROUTINE? OR SUBROUTIN?)
S35   430   DISPLAY? OR CRT OR CRTS OR GUI OR
GRAPHIC?(2W)(INTERFAC? OR
                    SCREEN? OR WINDOW? OR TABLE? OR MONITOR? OR PANEL?) OR
MENU -
                    OR MENUS OR BROWSER?
S36   203   (GRAPHIC? OR DIGITAL?)()(REPRESENTATION? OR DEPICT?) OR
GI-
                    I? ? OR GDI? ? OR (GRAPHIC? OR VISUAL?)(2W)(INTERFACE? OR
APP?
                    ? OR APPLICAT?)
S37   125   COMPUTER?()(SCREEN? OR WINDOW?) OR USERINTERFAC? OR
(DROP -
                    OR PULL)()DOWN? OR (WINDOW OR DESKTOP)()MANAGER? OR
PULLDOWN?
S38   109   UI OR UIS OR (GRAPHIC? OR VISUAL?)(2N)(MENU? OR PAGE?
OR S-
                    CREEN?) OR GUIS
S39   97   (MESSAGE? OR OUTPUT? OR NOTIFY? OR NOTIFI? OR
MESSAGING? OR
                    TEXT???)()(BOX OR BOXES OR WINDOW? OR FIELD?)
S40   0   AU=(KOCHANSKY J? OR KOCHANSKY, J?)
S41   0   KOCHANSKY(2N)(JOSEPH? OR JOE OR JOEY)

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S42      444   IC=(G06F? OR G06Q? OR G07F?)
S43       64   S16 AND S17:S18(10N)S19:S20(10N)S21:S22
S44       63   S43 AND S23:S34
S45       61   S43 AND S35:S39
S46       51   S43 AND S42
S47       63   S44:S46
S48       38   S47 AND AY=1950:2003
S49       34   S47 NOT AY=2004:2011
S50       38   S48:S49
S51       38   IDPAT (sorted in duplicate/non-duplicate order)
S52       37   IDPAT (primary/non-duplicate records only)
```

? **ds**

```
Set     Items   Description
S1      61339   PORTFOLIO?
S2      76215   (GROUP? OR POOL? OR MIX OR CLUSTER? OR LIST? OR
COLLECTION?
                OR AGGREGAT? OR MULTIPLE? OR MULTITUD? OR BUNDL? OR
SEVERAL?-
                )(2N)(SHARES? OR STOCK? OR BOND? OR EQUIT? OR DEBENTUR? OR
FI-
                NANCIAL?()INSTRUMENT? OR INVESTMENT?) OR MUTUAL()FUND? ?
S3      20998   (STOCKMARKET? OR STOCK()MARKET? OR DEBENTUR? OR STOCK?
OR -
                EQUIT? OR SHARE? OR INVESTMENT? OR BOND? ? OR COMMODIT? OR
FU-
                TURE? OR SECURIT? OR FINANCIAL?()INSTRUMENT? OR
MUTUAL()FUND?
                OR MONETAR?()NOTE?)(2N)(ACCOUNT? OR ACCT? OR IRA OR
INDIVIDUA-
                L()RETIREMENT()ACCOUNT? OR IRAS OR 401K OR 401()K OR
ANNUITY -
```

```
                 OR ANNUITIE? OR PENSION?()PLAN?)
S4      132609   COMPLIAN? OR OBEY? OR COMPLY?
S5     1373943   ADHERENC? OR FIDELIT? OR FAITHFUL? OR COMPLIE? OR
FOLLOW? -
                 OR (TOE OR TOES OR TOED OR TOEING)(2W)LINE OR LOYAL?
S6       43929   CONFORMIT? OR CONFORM OR CONFORMS OR CONFORMED OR
CONFORMI-
                 NG OR OBSERV?(2W)(DISCIPLINE? OR CONTINUIT? OR PROCEDUR?
OR P-
                 ROTOCOL? OR RULE? OR POLICY? OR POLICIE?)
S7       11544   S1:S3 AND S4:S6
S8        2628   RULE OR RULES OR PROTOCOL? OR POLICY OR POLICIE? OR
PROCED-
                 URE? OR PROCEDURAL? OR RULESET? OR RULEBASE? OR CRITERION?
OR
                 CRITERIA OR LAW OR LAWS OR ORDINANCE? OR CIVIL()CODE? OR
STAT-
                 UTE? OR GUIDELINE?
S9          56   (CONDITIONAL? OR LEGAL? OR STATUTOR? OR AGENCY OR SEC
OR L-
                 EGISLAT? OR OBLIGATORY? OR MANDATORY? OR COMPULSOR? OR
ADMINI-
                 STRATIV? OR ESSENTIAL? OR COMMISSION?)(2N)(BENCHMARK? OR
PARA-
                 MET? OR CONSTRAINT? OR REQUIREMENT? OR REQUISIT? OR REGS
OR R-
                 EGULATION? OR DIRECTIV?)
S10         47   (PREDETERMINED OR PREDEFINED OR PRESELECT? OR PRESET OR
PR-
                 EPROGRAMMED OR FIXED OR PREESTABLISHED OR STATED OR
DEFINED OR
                 SELECTED OR ESTABLISHED)(2N)(CRITERIA OR FACTOR OR
FACTORS OR
                 MODEL??? OR CONDITION? OR SCENARIO?)
S11       1781   TRANSACTION? OR TRADES OR TRADING? OR DEALS OR SWAPS OR
SW-
                 APPING? OR DEALING?
S12          4   (VOLUME? OR NUMBER? OR AMOUNT?)(2N)(SHARES OR EQUITIE?
OR -
                 FINANCIAL?()INSTRUMENT? OR BONDS OR DEBENTURE?)(2N)(EFT OR
FU-
                 ND?()TRANSFER? OR EXPENDIT? OR EXPENS? OR OUTLAY? OR BUY
OR B-
                 UYS OR PURCHAS? OR SALE? OR SELL? OR SOLD? OR BOUGHT? OR
ADDS
                 OR ADD OR ADDED OR ADDING OR ADDITION?)
S13        780   LIMIT OR LIMITS OR LIMITATION OR LIMITED OR LIMITING OR
CAP
                 OR CAPS OR TOPLIMIT? OR PEAK? OR CREST?
S14        182   BOUNDARY? OR BOUNDARIE? OR THRESHOLD? OR THRESHHOLD? OR
CE-
                 ILING? OR BUYING()POWER? OR (HIGHWATER? OR
HIGH()WATER)()MARK?
                 ?
S15        832   UPPERMOST? OR (SET OR TIPPING)()POINT? OR
CRITICAL()MASS? -
                 OR MAXIMUM? OR MAXIMAL? OR OPTIMUM? OR OPTIMAL?
```

```
S16        130   S7 AND S8:S10 AND S11:S12 AND S13:S15
S17         14   SORT OR SORTS OR SORTED OR SORTING OR RANK OR RANKS OR
RAN-
                 KED OR RANKING? OR HIERARCH? OR PRIORITIS? OR PRIORITIZ?
OR T-
                 AXONOMIS? OR TAXONOMIZ? OR LIST? ? OR LISTED OR LISTING OR
IT-
                 EMIZ? OR ITEMIS? OR DESCRIPTION?
S18         60   RATE? OR RATING? OR SCORE? OR SCORING? OR GRADE? OR
GRADING
                 OR CLASSIFY? OR CLASSIFIE? OR CLASSIFICAT? OR
TOTEM()POLE? OR
                 CAT?GORIS? OR CAT?GORIZ?
S19         27   LEAST OR LOWEST? OR SMALLEST? OR MINIMUM? OR MINIMAL?
OR L-
                 ITTLEST? OR TINIEST? OR BOTTOMMOST?
S20         46   MOST OR HIGHEST? OR BIGGEST? OR LARGEST? OR MAXIMUM? OR
MA-
                 XIMAL? OR GREATEST? OR UPPERMOST? OR TOPMOST? OR
MIGHTIEST?
S21         29   RESTRICT? OR STRICT? OR TIGHT? OR CONFINING OR CHEAPEST
OR
                 NARROW? OR SELECTIVE? OR EXCLUDING OR EXCLU?ATOR? OR
EXCLUSIV?
                 OR CONTROLLED OR PROHIBIT? OR FORBID? OR PROSCRIB?
S22         10   LENIENT? OR LAX OR LOOSE OR LOOSEST OR DEAREST OR
WIDEST? -
                 OR INDISCRIMINA? OR UNDISCRIMINA? OR NONEXCLU? OR
UNRESTRICT?
                 OR UNEXCLU? OR UNCONTROLL? OR PERMIT? OR PERMISSI?
S23          7   COMPUTER? OR ANALYT?()SERVER? OR DATABASE?
S24          0   MICROCONTROLLER? OR MICROCOMPUTER? OR MINICONTROLLER?
S25          0   COMPUTING()(DEVICE? OR APPARATUS?) OR MULTIPROCESS? OR
APP
                 OR APPS
S26          0   CONTROLLER? OR CONTROLLING()(DEVICE? OR UNIT? ?) OR
MINICO-
                 MPUTER? OR PC OR PCS
S27          0   DATAPROCESSOR? OR CENTRALPROCESSOR? OR CPU OR CPUS
S28          0   SERVER? OR (DATA OR MICRO OR CENTRAL OR
MINI)()(PROCESSOR?
                 OR CONTROLLER?) OR MINICOMPUTER?
S29          0   MICROPROCESSOR? OR MICRO()(CONTROLLER? OR PROCESSOR?)
S30          0   EXECUT?()FILE? OR PROGRAM?()LANGUAG? OR CONTROL()LOGIC?
S31          4   SOFTWARE? OR SOFT()WARE? OR APP? ? OR MACRO? ? OR API
OR A-
                 PIS OR PROGRAM()INTERFACE?
S32          0   PROCESS?R?(2N)(PROGRAM? OR APPLICATION? OR ROUTINE? OR
SUB-
                 ROUTINE? OR CODE? OR INSTRUCTION? OR ALGORITH? OR
LANGUAG?)
S33          0   PROCESS?R?(2N)(PROCEDUR? OR PROTOCOL? OR COMMUNICATION?
OR
                 COMMAND? OR STEP? ? OR SEQUEN?)
S34          0   PROCESS?R?(2N)(SCRIPT? OR UTILIT? OR CODE? OR UTILIT?
OR S-
                 CRIPT? OR ROUTINE? OR SUBROUTIN?)
```

```
S35          3   DISPLAY? OR CRT OR CRTS OR GUI OR
GRAPHIC?(2W)(INTERFAC? OR
                 SCREEN? OR WINDOW? OR TABLE? OR MONITOR? OR PANEL?) OR
MENU -
                 OR MENUS OR BROWSER?
S36          0   (GRAPHIC? OR DIGITAL?)()(REPRESENTATION? OR DEPICT?) OR
GI-
                 I? ? OR GDI? ? OR (GRAPHIC? OR VISUAL?)(2W)(INTERFACE? OR
APP?
                 ? OR APPLICAT?)
S37          0   COMPUTER?()(SCREEN? OR WINDOW?) OR USERINTERFAC? OR
(DROP -
                 OR PULL)()DOWN? OR (WINDOW OR DESKTOP)()MANAGER? OR
PULLDOWN?
S38          0   UI OR UIS OR (GRAPHIC? OR VISUAL?)(2N)(MENU? OR PAGE?
OR S-
                 CREEN?) OR GUIS
S39          0   (MESSAGE? OR OUTPUT? OR NOTIFY? OR NOTIFI? OR
MESSAGING? OR
                 TEXT???)()(BOX OR BOXES OR WINDOW? OR FIELD?)
S40          0   AU=(KOCHANSKY J? OR KOCHANSKY, J?)
S41          0   KOCHANSKY(2N)(JOSEPH? OR JOE OR JOEY)
S42          2   IC=(G06F? OR G06Q? OR G07F?)
S43          2   S16 AND S42
S44          2   RD   (unique items)
S45        128   S16 NOT S44
S46         10   S45 AND S17:S18 AND S19:S20 AND S21:S22
S47          0   S46 AND S23:S34
S48          2   S46 AND S35:S39
S49         10   S46:S48
S50         10   RD   (unique items)
S51        118   S45 NOT S49
S52         11   S51 AND S23:S39
S53          9   S52 AND S17:S22
S54         11   S52:S53
S55         11   RD   (unique items)
```

? **ds**

```
Set     Items   Description
S1    6214866   PORTFOLIO?
S2    3624213   (GROUP? OR POOL? OR MIX OR CLUSTER? OR LIST? OR
COLLECTION?
             OR AGGREGAT? OR MULTIPLE? OR MULTITUD? OR BUNDL? OR
SEVERAL?-
             )(2N)(SHARES? OR STOCK? OR BOND? OR EQUIT? OR DEBENTUR? OR
FI-
             NANCIAL?()INSTRUMENT? OR INVESTMENT?) OR MUTUAL()FUND? ?
S3    1111184   (STOCKMARKET? OR STOCK()MARKET? OR DEBENTUR? OR STOCK?
OR -
             EQUIT? OR SHARE? OR INVESTMENT? OR BOND? ? OR COMMODIT? OR
FU-
             TURE? OR SECURIT? OR FINANCIAL?()INSTRUMENT? OR
MUTUAL()FUND?
             OR MONETAR?()NOTE?)(2N)(ACCOUNT? OR ACCT? OR IRA OR
INDIVIDUA-
             L()RETIREMENT()ACCOUNT? OR IRAS OR 401K OR 401()K OR
ANNUITY -
             OR ANNUITIE? OR PENSION?()PLAN?)
S4    4494123   COMPLIAN? OR OBEY? OR COMPLY?
S5   28743204   ADHERENC? OR FIDELIT? OR FAITHFUL? OR COMPLIE? OR
FOLLOW? -
             OR (TOE OR TOES OR TOED OR TOEING)(2W)LINE OR LOYAL?
S6     931722   CONFORMIT? OR CONFORM OR CONFORMS OR CONFORMED OR
CONFORMI-
             NG OR OBSERV?N?
S7     274628   S1:S3(10N)S4:S6
S8     110916   RULE OR RULES OR PROTOCOL? OR POLICY OR POLICIE? OR
PROCED-
```

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                    URE? OR PROCEDURAL? OR RULESET? OR RULEBASE? OR CRITERION?
OR
                    CRITERIA OR LAW OR LAWS OR ORDINANCE? OR CIVIL()CODE? OR
STAT-
                    UTE? OR GUIDELINE?
S9        8439   (CONDITIONAL? OR LEGAL? OR STATUTOR? OR AGENCY OR SEC
OR L-
                    EGISLAT? OR OBLIGATORY? OR MANDATORY? OR COMPULSOR? OR
ADMINI-
                    STRATIV? OR ESSENTIAL? OR COMMISSION?)(2N)(BENCHMARK? OR
PARA-
                    MET? OR CONSTRAINT? OR REQUIREMENT? OR REQUISIT? OR REGS
OR R-
                    EGULATION? OR DIRECTIV?)
S10       2346   (PREDETERMINED OR PREDEFINED OR PRESELECT? OR PRESET OR
PR-
                    EPROGRAMMED OR FIXED OR PREESTABLISHED OR STATED OR
DEFINED OR
                    SELECTED OR ESTABLISHED)(2N)(CRITERIA OR FACTOR OR
FACTORS OR
                    MODEL??? OR CONDITION? OR SCENARIO?)
S11     125221   TRANSACTION? OR TRADES OR TRADING? OR DEALS OR SWAPS OR
SW-
                    APPING? OR DEALING?
S12       9705   (VOLUME? OR NUMBER? OR AMOUNT?)(2N)(SHARES OR EQUITIE?
OR -
                    FINANCIAL?()INSTRUMENT? OR BONDS OR DEBENTURE?)(2N)(EFT OR
FU-
                    ND?()TRANSFER? OR EXPENDIT? OR EXPENS? OR OUTLAY? OR BUY
OR B-
                    UYS OR PURCHAS? OR SALE? OR SELL? OR SOLD? OR BOUGHT? OR
ADDS
                    OR ADD OR ADDED OR ADDING OR ADDITION?)
S13      98645   LIMIT OR LIMITS OR LIMITATION OR LIMITED OR LIMITING OR
CAP
                    OR CAPS OR TOPLIMIT? OR PEAK? OR CREST?
S14       8920   BOUNDARY? OR BOUNDARIE? OR THRESHOLD? OR THRESHHOLD? OR
CE-
                    ILING? OR BUYING()POWER? OR (HIGHWATER? OR
HIGH()WATER)()MARK?
                    ?
S15      20627   UPPERMOST? OR (SET OR TIPPING)()POINT? OR
CRITICAL()MASS? -
                    OR MAXIMUM? OR MAXIMAL? OR OPTIMUM? OR OPTIMAL?
S16       4333   S7 AND S1:S6(10N)S8:S10 AND (S1:S6 OR
S8:S10)(10N)S11:S12 -
                    AND (S1:S6 OR S8:S10 OR S11:S12)(10N)S13:S15
S17       3144   SORT OR SORTS OR SORTED OR SORTING OR RANK OR RANKS OR
RAN-
                    KED OR RANKING? OR HIERARCH? OR PRIORITIS? OR PRIORITIZ?
OR T-
                    AXONOMIS? OR TAXONOMIZ? OR LIST? ? OR LISTED OR LISTING OR
IT-
                    EMIZ? OR ITEMIS? OR DESCRIPTION?
S18       3369   RATE? OR RATING? OR SCORE? OR SCORING? OR GRADE? OR
GRADING
```

```
                    OR CLASSIFY? OR CLASSIFIE? OR CLASSIFICAT? OR
TOTEM()POLE? OR
                    CAT?GORIS? OR CAT?GORIZ?
S19      3020   LEAST OR LOWEST? OR SMALLEST? OR MINIMUM? OR MINIMAL?
OR L-
                    ITTLEST? OR TINIEST? OR BOTTOMMOST?
S20      3719   MOST OR HIGHEST? OR BIGGEST? OR LARGEST? OR MAXIMUM? OR
MA-
                    XIMAL? OR GREATEST? OR UPPERMOST? OR TOPMOST? OR
MIGHTIEST?
S21      3337   RESTRICT? OR STRICT? OR TIGHT? OR CONFINING OR CHEAPEST
OR
                    NARROW? OR SELECTIVE? OR EXCLUDING OR EXCLU?ATOR? OR
EXCLUSIV?
                    OR CONTROLLED OR PROHIBIT? OR FORBID? OR PROSCRIB?
S22      2007   LENIENT? OR LAX OR LOOSE OR LOOSEST OR DEAREST OR
WIDEST? -
                    OR INDISCRIMINA? OR UNDISCRIMINA? OR NONEXCLU? OR
UNRESTRICT?
                    OR UNEXCLU? OR UNCONTROLL? OR PERMIT? OR PERMISSI?
S23      1332   COMPUTER? OR ANALYT?()SERVER? OR DATABASE?
S24        16   MICROCONTROLLER? OR MICROCOMPUTER? OR MINICONTROLLER?
S25        68   COMPUTING()(DEVICE? OR APPARATUS?) OR MULTIPROCESS? OR
APP
                    OR APPS
S26       304   CONTROLLER? OR CONTROLLING()(DEVICE? OR UNIT? ?) OR
MINICO-
                    MPUTER? OR PC OR PCS
S27         7   DATAPROCESSOR? OR CENTRALPROCESSOR? OR CPU OR CPUS
S28       153   SERVER? OR (DATA OR MICRO OR CENTRAL OR
MINI)()(PROCESSOR?
                    OR CONTROLLER?) OR MINICOMPUTER?
S29        12   MICROPROCESSOR? OR MICRO()(CONTROLLER? OR PROCESSOR?)
S30        13   EXECUT?()FILE? OR PROGRAM?()LANGUAG? OR CONTROL()LOGIC?
S31      1109   SOFTWARE? OR SOFT()WARE? OR APP? ? OR MACRO? ? OR API
OR A-
                    PIS OR PROGRAM()INTERFACE?
S32         4   PROCESS?R?(2N)(PROGRAM? OR APPLICATION? OR ROUTINE? OR
SUB-
                    ROUTINE? OR CODE? OR INSTRUCTION? OR ALGORITH? OR
LANGUAG?)
S33         1   PROCESS?R?(2N)(PROCEDUR? OR PROTOCOL? OR COMMUNICATION?
OR
                    COMMAND? OR STEP? ? OR SEQUEN?)
S34         1   PROCESS?R?(2N)(SCRIPT? OR UTILIT? OR CODE? OR UTILIT?
OR S-
                    CRIPT? OR ROUTINE? OR SUBROUTIN?)
S35       643   DISPLAY? OR CRT OR CRTS OR GUI OR
GRAPHIC?(2W)(INTERFAC? OR
                    SCREEN? OR WINDOW? OR TABLE? OR MONITOR? OR PANEL?) OR
MENU -
                    OR MENUS OR BROWSER?
S36        45   (GRAPHIC? OR DIGITAL?)()(REPRESENTATION? OR DEPICT?) OR
GI-
                    I? ? OR GDI? ? OR (GRAPHIC? OR VISUAL?)(2W)(INTERFACE? OR
APP?
                    ? OR APPLICAT?)
```

```
S37        42   COMPUTER?()(SCREEN? OR WINDOW?) OR USERINTERFAC? OR
(DROP -
                OR PULL)()DOWN? OR (WINDOW OR DESKTOP)()MANAGER? OR
PULLDOWN?
S38        19   UI OR UIS OR (GRAPHIC? OR VISUAL?)(2N)(MENU? OR PAGE?
OR S-
                CREEN?) OR GUIS
S39         9   (MESSAGE? OR OUTPUT? OR NOTIFY? OR NOTIFI? OR
MESSAGING? OR
                TEXT???)()(BOX OR BOXES OR WINDOW? OR FIELD?)
S40         0   AU=(KOCHANSKY J? OR KOCHANSKY, J?)
S41         0   KOCHANSKY(2N)(JOSEPH? OR JOE OR JOEY)
S42         0   IC=(G06F? OR G06Q? OR G07F?)
S43       177   S16 AND S17:S18(10N)S19:S20(10N)S21:S22
S44        88   S43 AND S23:S34
S45        28   S43 AND S35:S39
S46        17   S44 AND S45
S47        16   RD   (unique items)
S48        99   S44:S45
S49        44   S48 AND PY=1950:2003
S50        44   S48 NOT PY=2004:2011
S51        44   S49:S50
S52        37   S51 NOT S46
S53        30   RD   (unique items)
S54        78   S43 NOT S44:S46
S55        37   S54 AND PY=1950:2003
S56        37   S54 NOT PY=2004:2011
S57        37   S55:S56
S58        28   RD   (unique items)
```

No documents found for: *((PORTFOLIO*) AND (COMPLY* OR COMPLIE* OR COMPLIAN* OR ADHEREN* OR CONFORM* OR FIDELIT*) AND (RULE* OR POLICY* OR POLICIES OR PROTOCOL*) AND (TRANSACTION* OR TRADE* OR TRADING) AND (LIMIT* OR CAP OR CAPS OR CEILING* OR THRESHOLD*) AND (SORT* OR RANK* OR GRAD* OR SCOR* OR PRIORITI*) AND (DISPLAY* OR SCREEN* OR MENU* OR GUI OR CRT* OR DESKTOP*)) AND PMID(32326) AND PDN(<10/1/2003)*

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